

RECEIVED  
CENTRAL FAX CENTER

01:01:55 p.m. 05-15-2011

11/26

MAY 16 2011

17171CIP4DIV (AP)

PTO/SB/98 (01-08)

Approved for use through 07/31/2008. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Allergan, Inc.

DIV4 of USP 5776699 issued 7/7/1998

Application No./Patent No.: 6942980Filed/Issue Date: 09/13/2005

Entitled: METHODS OF IDENTIFYING COMPOUNDS HAVING NUCLEAR RECEPTOR NEGATIVE  
HORMONE AND/OR ANTAGONIST ACTIVITIES

ALLERGAN, INC.

(Name of Assignee)

a Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

In the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Elliott S. Klein, et al.To: Allergan

The document was recorded in the United States Patent and Trademark Office at  
Reel 007992, Frame 0602, or for which a copy thereof is attached.

2. From: Allergan Sales, LLCTo: Allergan, Inc.

The document was recorded in the United States Patent and Trademark Office at  
Reel 013933, Frame 0496, or for which a copy thereof is attached.

3. From: Elliott S. Klein, et al.To: VISION PHARMACEUTICALS, L.P (now Allergan Sales...)

The document was recorded in the United States Patent and Trademark Office at  
Reel 009220, Frame 0375, or for which a copy thereof is attached.

☒ Additional documents in the chain of title are listed on a supplemental sheet.

☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Debra D. Condino

Signature

5/15/2011

Date

Debra D. Condino

Printed or Typed Name

714.246.2388

Telephone Number

Assistant Secretary

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

## STATEMENT UNDER 37 CFR 3.73(B) – SUPPLEMENTAL SHEET

Applicant/Patent Owner: Allergan, Inc.

Application No./Patent No.: 6942980

Filed/Issue Date: 09/13/2005

B. Chain of title Continued...

4. From Alergan Sales, LLC. To Allergan, Inc..

The document was recorded in the United States Patent and Trademark Office at

Reel: 013965, Frame 0566.



US006942980B1

(12) **United States Patent**  
Klein et al.

(10) Patent No.: **US 6,942,980 B1**  
(45) Date of Patent: **Sep. 13, 2005**

(54) **METHODS OF IDENTIFYING COMPOUNDS HAVING NUCLEAR RECEPTOR NEGATIVE HORMONE AND/OR ANTAGONIST ACTIVITIES**

(75) Inventors: **Elliott S. Klein**, Marina Del Ray, CA (US); **Sunil Nagpal**, Lake Forest, CA (US); **Roshantha A. Chandraratna**, Mission Viejo, CA (US)

(73) Assignee: **Allergan, Inc.**, Irvine, CA (US)

(\*) Notice: Subject to any disclaimer, the term of this patent is extended or adjusted under 35 U.S.C. 154(b) by 677 days.

(21) Appl. No.: **09/685,828**

(22) Filed: **Oct. 10, 2000**

**Related U.S. Application Data**

- (60) Division of application No. 09/042,943, filed on Mar. 17, 1998, now Pat. No. 6,218,128, which is a continuation-in-part of application No. 08/613,863, filed on Mar. 11, 1996, now Pat. No. 5,776,699.
- (60) Provisional application No. 60/019,015, filed on Sep. 1, 1995, provisional application No. 60/064,853, filed on Sep. 1, 1995, and provisional application No. 60/020,501, filed on Oct. 13, 1995.

(51) Int. Cl.<sup>7</sup> ..... **C12Q 1/68**

(52) U.S. Cl. .... **435/7.1; 435/4; 435/6; 436/501**

(58) Field of Search ..... **436/501; 435/4, 435/7.1, 6**

(56) **References Cited**

**U.S. PATENT DOCUMENTS**

4,096,341 A 6/1978 Frazer  
4,326,055 A 4/1982 Loeliger  
4,391,731 A 7/1983 Bolter et al. .... 252/299.26  
4,485,252 A 11/1984 Fuchs et al. .... 560/8  
4,539,154 A 9/1985 Krebs ..... 260/410  
4,695,649 A 9/1987 Magami et al.  
4,723,028 A 2/1988 Shudo  
4,739,098 A 4/1988 Chandraratna  
4,740,519 A 4/1988 Shroot et al.  
4,810,804 A 3/1989 Chandraratna  
4,826,969 A 5/1989 Maignan et al.  
4,826,984 A 5/1989 Berlin et al. .... 546/134  
4,833,240 A 5/1989 Maignan et al. .... 536/55.2  
4,855,320 A 8/1989 Chatterjee et al.  
4,895,868 A 1/1990 Chandraratna  
4,923,884 A 5/1990 Chandraratna ..... 514/354  
4,927,947 A 5/1990 Chandraratna ..... 549/484  
4,980,369 A 12/1990 Chandraratna  
4,992,468 A 2/1991 Chandraratna  
5,006,550 A 4/1991 Chandraratna  
5,013,744 A 5/1991 Chandraratna  
5,015,658 A 5/1991 Chandraratna  
5,023,341 A 6/1991 Chandraratna  
5,037,825 A 8/1991 Klaus et al. .... 514/233.8  
5,045,551 A 9/1991 Chandraratna  
5,053,523 A 10/1991 Chandraratna  
5,068,252 A 11/1991 Chandraratna  
5,089,509 A 2/1992 Chandraratna  
5,130,335 A 7/1992 Chandraratna

5,134,159 A 7/1992 Chandraratna  
5,162,546 A 11/1992 Chandraratna ..... 549/23  
5,175,185 A 12/1992 Chandraratna ..... 514/445  
5,183,827 A 2/1993 Chandraratna ..... 514/444  
5,202,471 A 4/1993 Chandraratna ..... 562/473  
5,231,113 A 7/1993 Chandraratna ..... 514/510  
5,234,926 A 8/1993 Chandraratna ..... 514/253  
5,248,777 A 9/1993 Chandraratna ..... 546/165  
5,264,456 A 11/1993 Chandraratna ..... 514/461  
5,264,578 A 11/1993 Chandraratna ..... 546/269  
5,272,156 A 12/1993 Chandraratna ..... 514/314  
5,278,318 A 1/1994 Chandraratna ..... 549/23  
5,310,662 A 5/1994 Evans et al. .... 435/64  
5,324,744 A 6/1994 Chandraratna ..... 514/456  
5,324,840 A 6/1994 Chandraratna ..... 546/318  
5,326,898 A 7/1994 Chandraratna ..... 560/17  
5,344,959 A 9/1994 Chandraratna ..... 560/100  
5,346,895 A 9/1994 Chandraratna ..... 514/247  
5,346,915 A 9/1994 Chandraratna ..... 514/432  
5,348,972 A 9/1994 Chandraratna ..... 514/432  
5,348,975 A 9/1994 Chandraratna ..... 514/456  
5,349,105 A 9/1994 Chandraratna ..... 564/163  
5,354,752 A 10/1994 Chandraratna ..... 514/252  
5,354,776 A 10/1994 Chandraratna ..... 514/461  
5,380,877 A 1/1995 Chandraratna ..... 549/60  
5,391,753 A 2/1995 Chandraratna ..... 546/323  
5,399,561 A 3/1995 Chandraratna ..... 514/252  
5,399,586 A 3/1995 Davies et al. .... 514/448  
5,407,937 A 4/1995 Chandraratna ..... 514/256  
5,414,007 A 5/1995 Chandraratna ..... 514/365  
5,420,145 A 5/1995 Shudo ..... 514/352

(Continued)

**FOREIGN PATENT DOCUMENTS**

DE 3316932 11/1983 ..... C07C/63/66  
DE 3524199 1/1986 ..... C07C/63/66  
DE 3602473 7/1987 ..... C07C/43/215  
DE 3708060 9/1987 ..... C07D/311/04  
DE 3715955 11/1987 ..... C07C/15/58

(Continued)

**OTHER PUBLICATIONS**

Klein J Bio Chem 1996 271: 22692-96.\*  
A General Synthesis of Terminal and Internal Arylalkynes by the Palladium-Catalyzed Reaction of Alkynylzinc Reagents with Aryl Halides by Anthony O. King and Ei-ichi, *J. Org. Chem.*, (1978) 43/2: p. 358.  
Conversion of Methyl Ketones into Terminal Acetylenes and (E)-Tri-substituted Olefins of Terpenoid Origin by Ei-ichi, et al., *J. Org. Chem.*, (1980) 45/12: p.2526.

(Continued)

Primary Examiner—James Housel  
Assistant Examiner—Myron G. Hill  
(74) Attorney, Agent, or Firm—Brent A. Johnson; Martin A. Voet; Robert J. Baran

(57) **ABSTRACT**

Methods of characterizing and identifying negative hormones of nuclear receptors. Also disclosed are methods of making modulators of retinoid nuclear receptor transactivation activity, assays for agonists, antagonists, and negative hormones of the RAR receptor, and specific retinoid modulators of retinoid nuclear receptors.

4 Claims, 20 Drawing Sheets

RECEIVED  
CENTRAL FAX CENTER



United States Patent and Trademark Office **MAY 16 2011**

[Home](#) | [Site Index](#) | [Search](#) | [Guides](#) | [Contacts](#) | [eBusiness](#) | [eBiz alerts](#) | [News](#) | [Help](#)



## Assignments on the Web > Patent Query

### Patent Assignment Abstract of Title

*NOTE: Results display only for issued patents and published applications.  
For pending or abandoned applications please consult USPTO staff.*

#### Total Assignments: 1

**Patent #:** 6942980

**Issue Dt:** 09/13/2005

**Application #:** 09685828

**Filing Dt:** 10/10/2000

**Inventors:** Elliott S. Klein, Sunil Nagpal, Roshantha A. Chandraratna

**Title:** METHODS OF IDENTIFYING COMPOUNDS HAVING NUCLEAR RECEPTOR NEGATIVE HORMONE AND/OR ANTAGONIST ACTIVITIES

#### Assignment: 1

**Reel/Frame:** 013965/0566

**Recorded:** 04/11/2003

**Pages:** 32

**Conveyance:** ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

**Assignor:** ALLERGAN SALES, LLC (FORMERLY IN THE NAME OF VISION  
PHARMACEUTICALS L.P. OR ALLERGAN - WITH WACO OR DUPONT  
ADDRESS)

**Exec Dt:** 04/03/2003

**Assignee:** ALLERGAN, INC.  
2525 DUPONT DRIVE  
IRVINE, CALIFORNIA 92612

**Correspondent:** ALLERGAN, INC.  
MARTIN A. VOET  
2525 DUPONT DRIVE  
IRVINE, CA 92612

If you have any comments or questions concerning the data displayed, contact PRD / Assignments at 571-272-3350, v.2.1  
Web interface last modified: Apr 30, 2009 v.2.1

Search Results as of: 04/30/2011 12:01 PM

[HOME](#) | [INDEX](#) | [SEARCH](#) | [eBUSINESS](#) | [CONTACT US](#) | [PRIVACY STATEMENT](#)



United States Patent and Trademark Office

[Home](#) | [Site Index](#) | [Search](#) | [Guides](#) | [Contacts](#) | [eBusiness](#) | [eBiz Alerts](#) | [News](#) | [Help](#)

## Assignments on the Web &gt; Patent Query

## Patent Assignment Abstract of Title

*NOTE: Results display only for issued patents and published applications. For pending or abandoned applications please consult USPTO staff.*

## Total Assignments: 2

Patent #: 6218128

Issue Dt: 04/17/2001

Application #: 09042943

Filing Dt: 03/17/1998

Inventors: ELLIOTT S. KLEIN, SUNIL NAGPAL, ROSHANTHA A. CHANDRARATNA

Title: METHODS OF IDENTIFYING COMPOUNDS HAVING NUCLEAR RECEPTOR NEGATIVE HORMONE AND/OR ANTAGONIST ACTIVITIES

## Assignment: 1

Reel/Frame: 009220/0375

Recorded: 05/18/1998

Pages: 9

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

Assignors: KLEIN, ELLIOTT S.

Exec Dt: 05/04/1998

JOHNSON, ALAN T.

Exec Dt: 05/04/1998

STANDEVEN, ANDREW M.

Exec Dt: 04/28/1998

BEARD, RICHARD L.

Exec Dt: 05/05/1998

GILLET, SAMUEL J.

Exec Dt: 04/10/1998

DUONG, TIEN T.

Exec Dt: 05/01/1998

NAGPAL, SUNIL

Exec Dt: 04/30/1998

VULIGONDA, VIDYASAGAR

Exec Dt: 04/30/1998

TENG, MIN

Exec Dt: 05/06/1998

CHANDRARATNA, ROSHANTHA A.

Exec Dt: 04/30/1998

Assignee: VISION PHARMACEUTICALS, L.P., A TEXAS LIMITED PARTNERSHIP  
2525 DUPONT DRIVE  
IRVINE, CALIFORNIA 92612

Correspondent: ALLERGAN, INC.

CARLOS A. FISHER

T2-2E

2525 DUPONT DRIVE

IRVINE, CA 92612

## Assignment: 2

Reel/Frame: 013933/0496

Recorded: 04/14/2003

Pages: 41

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

Assignors: ALLERGAN SALES, LLC (FORMERLY IN THE NAME OF VISION  
PHARMACEUTICALS L.P.)

Exec Dt: 04/04/2003

ALLERGAN- WITH WACO OR DUPONT ADDRESS

Exec Dt: 04/04/2003

Assignee: ALLERGAN, INC.

25254 DUPONT DRIVE

IRVINE, CALIFORNIA 92612

Correspondent: ALLERGAN, INC.

MARTIN A. VOET (T2-7H)

2525 DUPONT DRIVE

IRVINE, CA 92612

If you have any comments or questions concerning the data displayed, contact PRD / Assignments at 571-272-3350, v.2.1  
Web interface last modified: Apr 30, 2009 v.2.1

Search Results as of: 05/13/2011 12:34 PM

HOME | INDEX | SEARCH | eBUSINESS | CONTACT US | PRIVACY STATEMENT

<http://assignments.uspto.gov/assignments/q?db=pat&qt=pat&reel=&frame=&pat=6218128...> 5/13/2011



United States Patent and Trademark Office

[Home](#) | [Site Index](#) | [Search](#) | [Guides](#) | [Contacts](#) | [eBusiness](#) | [eBiz alerts](#) | [News](#) | [Help](#)

## Assignments on the Web &gt; Patent Query

## Patent Assignment Abstract of Title

*NOTE: Results display only for issued patents and published applications.  
For pending or abandoned applications please consult USPTO staff.*

## Total Assignments: 2

Patent #: 5776699

Issue Dt: 07/07/1998

Application #: 08613863

Filing Dt: 03/11/1996

Inventors: ELLIOTT S. KLEIN, SUNIL NAGPAL, ROSHANTHA A. CHANDRARATNA

Title: METHOD OF IDENTIFYING NEGATIVE HORMONE AND/OR ANTAGONIST ACTIVITIES

## Assignment: 1

Reel/Frame: 007992/0602

Recorded: 05/09/1996

Pages: 8

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

Assignors: KLEIN, ELLIOTT S.

Exec Dt: 05/01/1996

JOHNSON, ALAN T.

Exec Dt: 05/01/1996

STANDEVEN, ANDREW M

Exec Dt: 05/01/1996

BEARD, RICHARD L.

Exec Dt: 05/06/1996

GILLET, SAMUEL J.

Exec Dt: 05/03/1996

DUONG, TIEN T.

Exec Dt: 05/07/1996

NAGPAL, SUNIL

Exec Dt: 05/01/1996

MULIGONDA, VIDYASAGAR

Exec Dt: 05/01/1996

FENG, MIN

Exec Dt: 05/09/1996

CHANDRARATNA, ROSHANTHA A.

Exec Dt: 05/08/1996

Assignee: ALLERGAN

8301 MARS DRIVE

WACO, TEXAS 76712

Correspondent: ALLERGAN, INC.

ROBERT J. BARAN

2525 DUPONT DRIVE

IRVINE, CA 92656

## Assignment: 2

Reel/Frame: 013933/0496

Recorded: 04/14/2003

Pages: 41

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

Assignors: ALLERGAN SALES, LLC (FORMERLY IN THE NAME OF VISION  
PHARMACEUTICALS L.P.

Exec Dt: 04/04/2003

ALLERGAN- WITH WACO OR DUPONT ADDRESS

Exec Dt: 04/04/2003

Assignee: ALLERGAN, INC.

25254 DUPONT DRIVE

IRVINE, CALIFORNIA 92612

Correspondent: ALLERGAN, INC.

MARTIN A. VOET (T2-7H)

2525 DUPONT DRIVE

IRVINE, CA 92612

If you have any comments or questions concerning the data displayed, contact PRO / Assignments at 571-272-3350, v 2.1  
Web interface last modified: Apr 30, 2009 v 2.1

Search Results as of: 05/13/2011 12:35 PM

[HOME](#) | [INDEX](#) | [SEARCH](#) | [eBUSINESS](#) | [CONTACT US](#) | [PRIVACY STATEMENT](#)

<http://assignments.uspto.gov/assignments/q?db=pat&qt=pat&reel=&frame=&pat=5776699...> 5/13/2011

PTO/SB/80 (11-08)

Approved for use through 11/30/2011. OMB 0651-0036  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO**

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:



Practitioners associated with the Customer Number:

051957

OR



Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:



The address associated with Customer Number:

051957

OR

<input type="checkbox"/> Firm or Individual Name			
Address			
City	State	Zip	
Country			
Telephone	Email		

Assignee Name and Address:

Allergan, Inc.  
2525 Dupont Drive  
Irvine, CA 92612

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/86 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

SIGNATURE of Assignee of Record

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature	<i>Debra D. Condino</i>	Date	5/15/2011
Name	Debra D. Condino	Telephone	(714) 246-2388
Title	Assistant Secretary		

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.